

9D-EC-19335  
PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Smith et al. :  
Serial No.: 09/475,961 : Art Unit:  
Filed: December 30, 1999 : Examiner:  
For: DELIVERY MANAGEMENT :  
SYSTEM :

**SUPPLEMENTAL SUBMISSION OF PRELIMINARY AMENDMENT**

Attention: Linda McDowell (Fax: 703/308-7749)  
Box DAC  
Hon. Commissioner for Patents  
Washington, D.C. 20231

Applicants respectfully request that the attached Preliminary Amendment as filed November 10, 2000, be considered in the above-referenced application. Specifically, through a telephone conversation with Linda McDowell of the USPTO, Office Of Petitions, Applicants learned that the attached Preliminary Amendment filed November 10, 2000 has not been indicated by the USPTO as having been received. However, the Preliminary Amendment was deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231, on November 10, 2000, and included a signed certificate of mailing (a copy of the Preliminary Amendment and accompanying transmittals, including the certificate of mailing is enclosed). As further evidence that the Preliminary Amendment was deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231, on November 10, 2000, attached is a copy of the return post card for the Preliminary Amendment and accompanying transmittals which was stamped received by the USPTO, Office of Initial Patent Examination (OIPE), on November 14, 2000.

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Applicants respectfully submit that Applicants' file copy of the PRELIMINARY AMENDMENT and accompanying transmittals, including the stamped-received post card, is indicative of Applicants original submission of the PRELIMINARY AMENDMENT and accompanying transmittals.

Accordingly, Applicants request consideration of the Preliminary Amendment as filed on November 10, 2000, submitted herewith. In addition, Applicants request that the fees due at the time of filing (as indicated and authorized in the Fcc Transmittal Form which accompanied the Preliminary Amendment) be accepted. Specifically, on the original date of filing, the fees for extra total claims in the sum of \$360.00 and the fees for extra independent claims in the sum of \$160.00 were authorized to be charged to a deposit account.

Applicants believe that the total fee due for this Submission Of Supplemental Preliminary Amendment is \$520.00 and the Commissioner is hereby authorized to charge the payment of the total fees due to deposit account 01-2384. **Please do NOT charge the deposit account listed on the Fee Transmittal Form originally filed on November 10, 2000.**

Instead, as previously indicated, please charge deposit account 01-2384 the appropriate amount. If \$520.00 is not the correct fee, then the Commissioner is hereby authorized to charge the correct fee to deposit account 01-2384.

For the reasons set forth above, Applicants respectfully request consideration of the Preliminary Amendment attached hereto.

Respectfully Submitted,



Thomas M. Fisher  
Registration No. 47,564  
ARMSTRONG TEASDALE LLP  
One Metropolitan Square, Suite 2600  
St. Louis, Missouri 63102-2740  
(314) 621-5070

*Fee Transmittal Form*  
*Transmittal Form*

A *Preliminary Amendment*  
has been received by the Patent Office on the  
date stamp of below.

Inventor *Timothy J. Smith et al*

Desk No. *9D-EC-19335*

App. Ser. No. *09/475,961*



*Fee Transmittal Form*  
*Transmittal Form*  
" *Preliminary Amendment*  
has been received by the Patent Office on the  
date of filing of the amendment.

Inventor: *Timothy J. Smith et al*

Deck No. *9D-CC-19335*

App. Ser. No. *09/475,961*

PTO/SB/17 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 520

## Complete if Known

Application Number	09/475,961
Filing Date	12/30/99
First Named Inventor	Timothy J. Smith
Examiner Name	
Group Art Unit	
Attorney Docket No.	9D-EC-19335

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 07-0844
- Deposit Account Name: General Electric Company
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
108	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims:  - 20\*\* =  x  =

Independent Claims:  - 3\*\* =  x  =

Multiple Dependent:  =

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 520

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
128	180	128	180	Submission of Information Disclosure Stmt	
381	40	381	40	Recording each patent assignment per property (times number of properties)	
148	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	219	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	George L. Rideout Jr	Registration No. (Assigned/Agent)	43,880	Telephone	(502) 452-7792
Signature	George L. Rideout Jr	Date	11/10/00		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/21 (08-00)  
 Approved for use through 10/31/2002. OMB 0651-0031  
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<h1 style="text-align: center;">TRANSMITTAL FORM</h1> <p style="text-align: center;">(to be used for all correspondence after initial filing)</p>	Application Number	09/475,961
	Filing Date	12/30/99
	First Named Inventor	Timothy J. Smith
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number 9D-EC-19335

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Part/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks  		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	George L. Rideout Jr. General Electric Company
Signature	<i>George L. Rideout Jr.</i>
Date	11/10/00

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 11/10/00

Typed or printed name	George L. Rideout Jr.
Signature	<i>George L. Rideout Jr.</i>
Date	11/10/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.